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FINANCIAL AND TECHNICAL COOPERATION

FINANCIAL MECHANISM: REVIEW PROCESS REFERRED TO IN DECISION 9/CP.1

Synthesis report

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GEF Monitoring and Evaluation Programme 12

I. INTRODUCTION

1. In accordance with Article 11.4 of the Convention, at its first session, the Conference of the Parties (COP) decided to review the financial mechanism within four years and to take appropriate measures, including a determination of the definitive status of the Global Environment Facility (GEF) in the context of the Convention. In decision 11/CP.2, in the context of guidance to the Global Environment Facility (GEF), the COP requested the Subsidiary Body for Implementation (SBI) at its fifth session to undertake the review process referred to in decision 9/CP.1 and to report on the outcome to the COP at its third session.

2. The SBI agreed to begin the review process on the basis of guidelines which specify objectives, a methodology and criteria, and invited Parties to submit views on their experience regarding the financial mechanism by 15 May 1997. It requested the secretariat to compile the submissions (FCCC/SBI/1997/MISC.3) and to prepare a synthesis report based on the submissions received and other information as enumerated in the guidelines, for consideration by the Parties at the sixth session of the SBI (FCCC/SBI/1997/6, paras 18-20 and annex II). As only few submissions had been received by 15 May, consideration was also given to additional communications which were received by 16 June 1997.

3. The following synthesis report takes into account eight submissions from Parties, including three from Africa, two from Asia, one from Latin America, one from North America and one by the Netherlands on behalf of the European Community and its member States. These were complemented by information provided by 25 non-Annex I Parties which had responded to a secretariat questionnaire on the status of preparation of national communications. In addition, information from other sources as enumerated in the guidelines was taken into account. Views received from an inter-governmental organisation, the Organisation of Petroleum Exporting Countries (OPEC) and a non-governmental organisation, Climate Network Africa, were also reflected.

4. Given the small number of submissions by non-Annex I Parties and the fact that the set of criteria were often not comprehensively addressed, this synthesis report should be considered bearing these limitations in mind. Information on the provision of support for national communications and other GEF financing for project activities can be interpreted with more confidence, however, as it is more broadly-based and factual data are available.

II. BACKGROUND AND INSTITUTIONAL DEVELOPMENT

5. The GEF had originally been established as a pilot programme to assist in the protection of the global environment and promote, thereby, environmentally sound and sustainable economic development. In response to the requirements of Articles 21.3 and 11, in particular to ensure that its membership be universal, the GEF organised restructuring

negotiations during the period April 1992 through March 1994. Through the Instrument for the Establishment of the Restructured GEF, the following purposes were pursued:

(a) Moving towards universal membership currently comprising 161 country Participants in the GEF;

(b) Its functioning under the guidance of the COP;

(c) The provision of financial resources on a grant or concessional basis; and

(d) Ensuring equitable and balanced representation within a transparent system of governance comprised of an Assembly, a Council and a Secretariat.

6. Annex D to the Instrument specified the principles of co-operation among the Implementing Agencies (IAs), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and the World Bank, in particular their key roles in the implementation of the GEF-financed projects in their respective spheres of competence. A Scientific and Technical Advisory Panel (STAP) was established to advise the GEF on a range of strategic scientific and technical issues, while maintaining a limited, but important role in the project review process.

7. In decision 12/CP.2, the COP adopted and thus brought into force the Memorandum of Understanding between the COP and the Council of the GEF, subsequent to the approval by the latter. The Parties to this Memorandum agreed that its purpose is to give effect to the respective roles and responsibilities of the COP and the GEF, and to provide for the required interaction between them. It specifies procedures for the determination and communication of guidance from the COP to the Council of the GEF concerning the financial mechanism; the conformity with COP guidance; the reconsideration of funding decisions; the reports from the GEF to the COP; the determination of funding necessary and available as detailed in the Annex to this Memorandum; the cooperation between secretariats; the representation in meetings of governing bodies; and the review and evaluation of the financial mechanism. The Annex on the determination of funding necessary and available for the implementation of the Convention was approved by the Council of the GEF and is scheduled for approval by the COP at its third session.

8. The work programme on the GEF system of monitoring and evaluation, established by the GEF Council, includes independent evaluation, operational, scientific and technical monitoring and evaluation, and evaluation of strategic and cross-programme issues. Operational monitoring and evaluation should be based on the existing systems of the IAs while recognizing the need to harmonize the activities of the agencies to suit the needs of the GEF. STAP should play an important role in scientific and technical evaluation. The monitoring and evaluation activities to be carried out during 1997-1998 are outlined in the annex to the present document.

III. GEF OPERATIONS AND FUNDING REGARDING CLIMATE CHANGE

A. Operational Strategy

9. The GEF operations regarding climate change fall into the interrelated categories which are specified below:

(a) Enabling activities, representing a basic building block of the GEF assistance to countries (including inventories, compilation and analysis of existing information, policy analysis, strategies, action plans, and national communications);

(b) Projects developed under long-term operational programmes, which are in accordance with the initial three programme priorities approved by the COP, namely:
   (i) Removing barriers to energy conservation and energy efficiency;
   (ii) Promoting the adoption of renewable energy by removing barriers and reducing implementation costs; and
   (iii) Reducing the long-term costs of low greenhouse gas emitting energy technologies.

   In addition, other operational programmes to address transport and carbon sequestration are under development.

(c) Short-term response measures in the form of high priority projects which are in neither of the categories above, but yield climate change benefits at low cost.

10. In addition, the Project Development Funding (PDF), instituted at the November 1994 meeting of the GEF Council, is intended to provide the funding, when necessary, for project development from the initial concept stage to the final design.

11. In April 1996, the GEF Council approved its policy concerning public involvement in projects financed by the GEF. In approving the policy, the Council requested the GEF Secretariat to work with IAs in preparing operational guidelines for public involvement, namely: (a) to place emphasis on local participation and stakeholders; (b) to consider specific local conditions; and (c) to ensure that public involvement is consistent with provisions in the GEF Instrument.

B. GEF Funding of Activities in the Climate Change Area

12. According to the GEF Quarterly Operational Report of March 1997, the GEF has provided over $US 528 million in grant financing for climate change projects and project preparation. This total excludes funds for supporting multiple focal areas projects, such as the Small and Medium-Scale Enterprise Programme and the Small Grants Programme. The estimated share of GEF resources committed to climate change projects is approximately

39 per cent (biodiversity is 35 per cent; international waters 12 per cent; ozone 8 per cent; and multi-focal areas is 6 per cent).

13. There are currently 13 global and six regional climate change projects in place which receive funding amounting to almost $US 100 million and over $US 26 million, respectively. These projects, equivalent to about 20 per cent of GEF funding for climate change, include the Photovoltaics Market Transformation Initiative, the Renewable Energy and Energy Efficiency Fund and capacity-building activities.

14. For a large number of non-Annex I Parties, the GEF support to date is primarily through enabling activities. The GEF resources for these projects vary in size, but are typically of the order of US$ 300,000. According to the GEF, of the approximate 103 non-Annex I Parties included in the cumulative GEF work programme, as many as 90 countries were covered in national or global/regional projects that contain some or all the components required for the preparation of national communications. On the other hand, technical assistance or investment projects pertaining to one of the operational programmes had been developed in 25 countries which have not yet initiated the preparation of a national communication.

15. Concerning direct country projects, approximately $US 345 million were allocated within the financial mechanism, while $US 58 million went to climate change activities outside the financial mechanism. The cumulative GEF Work Programme covers a total of 77 projects through which direct support is rendered to 57 non-Annex I Parties. These include 39 enabling activities, 26 projects carried out during the pilot phase and 12 operational programme projects under the restructured GEF.

16. About $US 15 million are dedicated to country-specific enabling activities which can be considered under expedited procedures for an immediate disbursement of 15 per cent of the total project funds, in order to allow immediate implementation. During the GEF Pilot Phase, approximately $US 180 million were allocated to 26 national programmes in 21 countries, such as for the development of renewable sources of energy, energy efficiency measures and the development of coal-bed methane resources. Allocations for the same purposes under the restructured GEF totalled about $US 145 million, with 12 projects in ten countries. Over four fifths of GEF resources for country projects within the financial mechanism went to ten non-Annex I Parties. The GEF financing for project preparation under PDF Block B and C grants totals approximately US$ 5 million and covers 16 project concepts. Other project proposals not requiring project preparation financing are under preparation in the climate change area with the assistance of the IAs.

17. Information is available on the GEF work programme allocations, commitments and disbursements. Variations in the percentage of commitments and disbursements as related to allocations were discernable among the IAs. The higher rates of disbursement by UNDP and UNEP in comparison to the World Bank seem to reflect the magnitude, complexity and

longevity of World Bank projects, but may warrant further analysis in the context of the GEF Monitoring and Evaluation programme.

18. According to the report presented by the GEF to the SBI at its fifth session, the $US 528 million had then leveraged an additional $US 2,730 million in project financing. The total amount available for climate change project financing was thus $US 3,258 million.

C. The GEF Project Cycle

19. The cycle is initiated in accordance with priorities and needs expressed by non-Annex I Parties which approach the GEF through one of its IAs. Proposals, once endorsed by the requesting government and prior to being submitted to the GEF Council, are subjected to a review process, including the GEF secretariat, the IAs, the Convention secretariat and the STAP. Once approved by the GEF Council, or, in the case of enabling activities qualifying for expedited procedures, once approved by the Chief Executive Officer (CEO) of the GEF, the project document is finalized and signed by the agency and the recipient country.

20. The analysis of information on enabling activities shows that the average period between country endorsement of a project proposal and its approval by the CEO on behalf of the Council is currently about six months, as compared to 15 months before expedited procedures were implemented by the GEF. According to information provided by the GEF in June 1997, there are currently 37 country-endorsed projects included in the list of enabling activities under expedited procedures. Of these projects, 26 have been approved by the GEF and can, therefore, be considered for at least a 15 per cent immediate disbursement. Four of these proposals have also been signed by the relevant IA, and are being implemented. Of the remaining 22 projects awaiting the signature by the IA, 17 had been approved by the Council between March and May 1997 and five dated from 1996 (FCCC/SBI/1997/MISC.4).

D. Project Development Support

21. To facilitate access to resources of the GEF and the preparation of projects, GEF project development workshops have been organised in Africa, Asia/Pacific, Latin America/Caribbean, Europe/Central Asia and Middle East/North Africa. Further regional workshops have been scheduled for 1997. The GEF organised two workshops at the fifth session of the SBI to better inform Parties how to access GEF resources and to share experiences in implementing climate change projects. The GEF and the Convention secretariat are collaborating to inform Parties of available support for preparing their national communication and provide technical backstopping.

IV. SUBMISSIONS BY PARTIES ON THEIR EXPERIENCE WITH THE GEF

22. In response to the invitation by the SBI a total of eight submissions were received from Parties until 16 June 1997. Of these, six were from non-Annex I and two from Annex I Parties. One of the latter was from the Netherlands on behalf of the European Community and its member States. The submissions referred, explicitly or implicitly, to the objectives and/or criteria spelled out in the guidelines adopted by the SBI at its fifth session. They are presented below in a summarized manner along with a number of recommendations made by them. It should be noted that submissions did not distinguish between the entities constituting the GEF, namely the Secretariat, the Council and the IAs. Neither did they specify the time-frame of the reported experiences.

A. Governance, Responsiveness and Effectiveness

23. Certain Parties expressed a continued need for additional information and enhanced transparency on GEF operations. Procedures for obtaining funding and the level of funding obtainable should be clearly indicated. This pertained to projects for the preparation of national communications as well as to programmes and projects under the operational strategy, like technical assistance and investment projects. In this context it was also mentioned that progress in transferring technology had been insufficient.

24. It was stated that GEF funding, such as allocations for the preparation of national communications, had not been timely, was insufficient in scope and unpredictable. This had caused delays in meeting commitments under the Convention and, in one case, in elaborating a national action plan. Due to problems in accessing the required GEF support, Parties had to resort to the alternative of approaching Annex I countries which, in some cases, had attached conditions not always in the interest of developing countries. Improved administrative procedures and more dynamic technical support were needed to reduce delays in project approval and implementation and to avoid inconsistencies and lack of responsiveness in the preparation, consideration and operationalisation of projects.

25. Other Parties felt that the restructuring and replenishment of the GEF, the development of its Operational Strategy and Programmes following the guidance of the COP as well as the agreement reached with the Convention on its Memorandum of Understanding were all part of a continuing process. Difficulties of developing countries in receiving adequate financial support for the preparation of national communications had been met by a prompt response from the GEF, including the timely disbursement of funds through a speeding up of procedures in the IAs. The funding process thus seemed to be functioning more effectively. In addition, the GEF was increasingly leveraging financial resources from both the private sector and co-funding sources.

26. Donors, being assured by these accomplishments, had committed over $US 2 billion to the first replenishment and saw a strong basis for future replenishment. The GEF was considered to have the means for effectively transferring new and additional resources to

developing country Parties to meet the agreed full costs of their obligations under Article 12.1 and the agreed full incremental costs of implementing measures that are covered by Article 4.1 and that are agreed in accordance with Article 4.3.

B. Recommendations

27. Increased sharing of experiences between donor and recipient countries was encouraged. It was suggested that the secretariat should arrange for experts from the GEF and its IAs to be available at the next meeting of the SBI to respond to any specific issues raised by developing country partners. It was recommended that funding through the GEF should be made available to allow Parties and Observers to exchange information and views on the implementation aspects of Specific Policies and Measures (P&M) taken by Annex I Parties. Workshops should be convened to discuss specific topics of the climate change agenda so that understanding would increase and capacities be developed.

28. In addition, non-Annex I Parties responding to the questionnaire by the secretariat on the Status of Preparation of National Communications almost unanimously called for workshops for exchanging information on emission factors and activity data and for regional and subregional workshops.

29. A continuous and sustainable funding approach was recommended in certain areas, in particular for activities related to the preparation of national communications. It was also suggested that projects for capacity-building should be executed by countries to ensure that they were indeed country-driven, cost-effective and targeted. In this context, a proposal was also made that the Convention secretariat should be in charge of allocating funding for the preparation of national communications so that non-Annex I Parties could comply with their reporting commitments in 1998.

30. Regional imbalances and weaknesses should be addressed. The level of participation at the GEF Council should be reviewed and regional views should be presented at its meetings. The allocation of funding to regions was seen to be imbalanced. Focal points in the African region should be strengthened to allow for an increased flow of information.

31. The submission by the Netherlands on behalf of the European Community and its member States recommended that the financial mechanism should be appointed on a continuing basis, dependent on a regular review process with a four year time-span taking into account the conformity of the financial mechanism with the guidance of the COP, the reports to the COP and the reports of the GEF's Monitoring and Evaluation Programme. The review process should be structured to monitor and influence the further improvement of the GEF in its role as the financial mechanism of the Convention.

32. Private sector involvement and innovative financial approaches and partnerships should be further encouraged in order to maximize the impact of resources available from GEF, especially where capital-intensive projects were concerned. Also, donors had encouraged the

GEF, in accordance with its mandate, to mainstream sustainable development concerns, especially climate change considerations, in lending practices of multi-lateral development banks, the World Bank and other institutions. The integration of global environment agenda into the core of programmes of IAs was welcomed. In this context an explicit request was made to the SBI that the necessary steps are taken to formally operationalise paragraph 2(a) of decision 11/CP 1.

V. RELEVANT INFORMATION FROM OTHER SOURCES

33. An intergovernmental organisation suggested that the vulnerability of countries to climate change mitigation measures should be one criterion of eligibility for funding by the GEF and recommended to increase the flow of information on the availability of its resources, including specific information on funding for project development and preparation.

34 A non-governmental organisation noted that funds for activities in developing countries were not adequate, predictable and disbursed in a timely manner and that the project approval process was lengthy. The sustainability of projects was not ensured as resources for follow-up activities tended to be lacking. It recommended that an inventory of resource flows to developing countries and regions be compiled.

VI. CONCLUSIONS

35. Based on the information in this initial synthesis report it is possible to identify accomplishments as well as to indicate how communication between the GEF, the IAs and the Parties could be improved and where immediate remedial steps could be taken to address general as well as country-specific problems. Additional information emanating from the GEF's Monitoring and Evaluation exercise is expected to be available in the fourth quarter of 1997.

36. The GEF has made considerable progress in terms of institutional development. Its restructuring, the conclusion of a Memorandum of Understanding between the COP and the GEF, the establishment of a Scientific and Technical Advisory Panel, the development of an operational strategy, the institution of expedited procedures for the approval of enabling activities, the institution of a Project Development Funding facility constitute significant milestones in this regard.

37. The first replenishment of the GEF amounted to circa $US 2 billion for all focal areas. GEF funding totalling US$ 528 million in grant financing has been provided for climate change projects and project preparation within and outside the financial mechanism. This financing has leveraged an additional US$ 2,730 million so that a total of US$ 3,258 million is available for climate change projects. In the first replenishment period, no climate change related activities were denied funding because of the unavailability of funds.

38. The GEF is supporting a substantial number of enabling activities for the preparation of national communications under Article 12. In this regard, expedited procedures have more than halved the lead time for project approval. There still appears to be a need to accelerate post approval procedures and implementation. Available support for project development should promote progress in launching and conducting the preparation of national communications by more non-Annex I Parties.

39. Funding of mitigation projects has begun in the areas defined in the three initial operational programmes for climate change. These include mainly projects in the areas of renewable energy development and energy efficiency.

40. Concerns have been expressed regarding the transparency of the GEF decision-making process, the adequacy, predictability and timely disbursement of funds for activities in developing country Parties.

41. It has been recommended that efforts be made to ensure the financial sustainability of GEF projects and to build up national and regional capacities, including public awareness. It was suggested that the provision of increased information on the procedures of the GEF and the exchange of experiences among and between non-Annex I and Annex I Parties could be helpful in this respect.

42. The Secretariat of the GEF and the IAs may wish to contact non-Annex I Parties whose submissions are contained in the compilation (FCCC/SBI/1997/MISC.3) with a view to resolving any outstanding issues.

43. A proposal has been made that the GEF should henceforth have continuing status as the operating entity of the financial mechanism, dependent on a regular review process.

Annex

GEF MONITORING AND EVALUATION PROGRAMME

1. Study on the GEF's Overall Performance: In the fiscal year 1997-1998, the Senior Monitoring and Evaluation Coordinator of the GEF is carrying out this study on strategic, institutional and programmatic issues. It is to assess to what extent the GEF achieved or is achieving the main objectives and guidelines of the pilot phase and of the restructuring in 1994. The study is to inform the GEF Assembly, planned for early 1998, the second GEF Replenishment Process and GEF stakeholders. The study will partly build on and complement three other GEF Monitoring and Evaluation products, which include the Evaluation of Project lessons and the Project Implementation Reviews (PIRs) for 1996 and 1997 encompassing overall portfolio review, financial analysis and a summary of implementation performance and key issues.

2. This study will be carried out during the period from April 1997 to February 1998. A Senior Advisory Panel of six to seven members will advise the Senior Monitoring and Evaluation Coordinator and the study team on the operationalisation, implementation and interpretation of the findings. Interviews with the Convention secretariat, implementing and executing agencies, STAP, NGOs and other relevant actors will be followed by 10 in-depth and six lesser country surveys. The draft report is to be circulated for internal and external comments in September 1997 and presented at a workshop during the GEF Council meeting and NGO consultation in November 1997. A presentation is foreseen during the COP in December 1997. The final report will be available in English, French and Spanish.

3. This study will address overriding issues related to the GEF's performance at the strategic, institutional and programme levels and draw on the above project reviews and evaluations. Among issues to be assessed are the following: (i) the GEF's role as a catalyst in providing and leveraging resources; (ii) the effectiveness of incremental cost financing in promoting relatively large numbers of projects and simultaneously economizing on the resources of the GEF; (iii) the role of the GEF in assisting non-Annex I Parties to fulfil their commitments under the Convention, in particular the modalities of co-operation between executing agencies and national host governments, institutions and stakeholder groups; (iv) the extent to which the GEF was helpful in promoting global environmental objectives in recipient countries; (v) the effective establishment of co-operation mechanisms and procedures for project cycle management between the GEF secretariat, IAs, STAP and the convention secretariats and other cooperation partners, including assessments of the extent to which the GEF has encouraged integration of global environmental objectives into mainstream operations of its IAs; (vi) approaches and strategies by the GEF to operationalise Convention guidance and Council decisions; (vii) examination of criteria and priorities for developing the overall portfolio, project selection and approval, the choice of viable concepts, technologies and designs, systems for learning from experience as well as demonstration and replication of promising approaches.

4. PIRs: In 1997, more than 100 projects which have been undergoing implementation for more than one year, will be reviewed, *inter alia* for their attainment of global environmental objectives and sustainable development. The main issues scrutinized bear relations to several criteria in the guidelines for the review of the financial mechanism. The PIRs are to consider: (i) prospects for sustainability and replication of project outcomes, including global environmental benefits; (ii) ways in which the latter and incremental costs are measurable and measured; (iii) experience with timely provision of co-financing and government counterpart contributions (cash and in-kind resources); (iv) experience with the involvement of stakeholders, the private sector and NGOs; (v) experience with regional collaboration mechanisms; (vi) assessment of innovative approaches; and (vii) information exchange and communication, including demonstration and replication of viable projects.

5. Evaluation of Project Lessons: This evaluation, begun in April 1997 and to be finalized in October 1997, is to determine the relationship between project features and performance and is to help implementing agencies to improve on project design. Phase I of the evaluation will analyse 30 pilot phase projects which had been under implementation for at least one year by 30 June 1996 and were selected because they performed well or worse than the portfolio as a whole. Features being monitored include the project design, implementation and management; beneficiary/stakeholder involvement; technological and institutional matters; country and regional context; and monitoring and evaluation. On the basis of the analysis, six to ten projects will receive field reviews in Phase II in order to deepen the conclusions and to illustrate the relationship between project characteristics and performance. Consultations with NGOs are foreseen as well.

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COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

SECRETARIAT ACTIVITIES TO FACILITATE THE PROVISION OF FINANCIAL AND TECHNICAL SUPPORT

Progress report

I. INTRODUCTION

1. According to Article 12.5 of the Convention, each Party not included in Annex I to the Convention "shall make its initial national communications within three years of the entry into force of the Convention for that Party, or of the availability of financial resources in accordance with Article 4, paragraph 3. Parties that are least developed countries may make their initial communication at their discretion".

2. At its second session, by its decision 10/CP.2 paragraph 1(a), the Conference of the Parties (COP) requested the secretariat, in accordance with Article 8.2(c), "to facilitate assistance to Parties, particularly developing country Parties, in the preparation of their initial communications, through the organization of workshops at the regional level; to provide a forum for the exchange of experiences in the development of emission factors and activity data for the estimation of the inventory, as well as, on request, for other elements of information in the initial communication; and to provide a report to the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice, at each of their sessions" (FCCC/CP/1996/15/Add.1).

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3. At the same session, by its decision 3/CP.2, having considered the progress report of the secretariat on its activities relating to technical and financial support to Parties, namely CC:INFO, CC:TRAIN, CC:FORUM and CC:SUPPORT, the COP requested the secretariat to prepare a progress report for consideration by the Subsidiary Body for Implementation (SBI) at its sixth session (FCCC/CP/1996/15/Add.1).

4. At its fifth session, the SBI took note of the activities undertaken by the secretariat to facilitate the provision of support to non-Annex I Parties for the preparation of their initial national communications described in document FCCC/SB/1997/INF.1, and requested the secretariat to continue to report to the SBI at future sessions on further progress achieved (FCCC/SBI/1997/6 para. 21).

5. The present document contains a progress report on the activities of the secretariat to facilitate provision of financial and technical support to non-Annex I Parties, in particular for the preparation of these Parties' initial national communications.

II. ACTIVITIES

A. Collection of information on national communications

6. At the fifth session of the SBI, the secretariat provided a table with information on the expected dates of publication of the initial communications of 47 non-Annex I Parties (FCCC/SB/1997/INF.1, annex II). The secretariat intends to continue informing Parties on this important aspect of the communication process, and make available any further information by the sixth session of the SBI.

7. In anticipation of the imminent submission of national communications by non-Annex I Parties, one of which was received by the secretariat on 7 March 1997, and in order to prepare for further discussion, the secretariat invited Parties to provide views on the process of consideration of these communications. The secretariat will prepare a compilation of these views and make it available to the SBI at its sixth session.

B. Regional workshops

8. The secretariat is continuing its participation in regional workshops on the implementation of the Convention where it presents a module on the guidelines for the preparation of the initial national communications of non-Annex I Parties and the financial and technical assistance that is available for the preparation of these communications. The secretariat is to participate in four to five such regional workshops during the first half of 1997.

C. CC:FORUM

9. The secretariat has continued to organize meetings of the informal consultative group (CC:FORUM). The aim is to coordinate the exchange of views on technical and financial support to developing countries and economies in transition for the implementation of the Convention and the preparation of the initial national communications.

10. At its 5th meeting, held on 19 December 1996 in Geneva, CC:FORUM made a number of recommendations, such as the use of regional workshops as a cost-effective means to stimulate and accelerate the process of preparation of the communications, the strengthening of existing information exchange mechanisms and systems based on the Internet, CD-ROMs and the World Wide Web (WWW), and the indication and/or nomination of national technical focal points for the preparation of the inventory. The meeting also recommended the compilation of comparative data tables with details by country on national focal points, greenhouse gas (GHG) inventory, national policies and plans as well as national communications (FCCC/SB/1997/INF.1).

11. The 6th meeting of CC:FORUM took place on 26 February 1997 in Bonn in conjunction with the fifth session of the SBI and the SBSTA, and was attended by representatives from Parties, bilateral and multilateral organizations and non-governmental organizations (NGOs). The meeting was convened to update experiences, consider implementation of the recommendations of the 5th meeting and discuss further steps to be taken.

12. The 6th meeting reaffirmed the need to improve access by non-Annex I Parties to climate change information exchange systems such as the Internet and the WWW. The meeting also recommended to continue work to provide these Parties with a forum for exchanging inventory, as well as vulnerability and adaptation data, and to organize regional workshops on the preparation of the communications.

13. A comparative table on the implementation of the Convention by Asian countries, prepared at the Sixth Asia-Pacific Seminar on Climate Change organized by the Government of Japan, was presented at the meeting. The meeting recommended that similar tables be prepared for the African and Latin American regions. It took note of the information provided by the Government of Japan on the seventh Asia-Pacific seminar on climate change, scheduled to be held in July 1997, which will focus on the preparation of national communications and also include a brief training seminar on the preparation of national inventories of GHGs and sinks.

14. Progress was also reported on the joint programme of the secretariat of the Global Environment Facility (GEF), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and the secretariat in order to provide, in a pro-active and systematic manner, non-Annex I Parties with technical and financial support needed to complete their initial communications in the light of the guidelines contained in decision 10/CP.2 (FCCC/CP/1996/15/Add.1).

15. As part of this programme, a number of regional training and information exchange workshops are being envisaged in the regions of Africa and Latin America. These workshops are intended to advance work by participating countries in the preparation of their initial national communications. Other features of this programme are the assembly of a roster of experts, a central point for collecting information on the progress of communication projects, a help-desk function, and the mobilization of rapid expert assistance.

D. Information exchange

16. The secretariat has been focusing on enhancing the information flow related to the preparation of initial communications by non-Annex I Parties. To this end, it carried out a number of activities, which included the development of new information products.

17. The February 1997 update to the CC:INFO Report was distributed to delegates attending the February/March meetings of the subsidiary bodies and more than 500 governmental and non-governmental recipients in developing countries as well as bilateral and multilateral organizations. The update provides current information by country on activities related to the implementation of the Convention.

18. The secretariat has expanded its use of electronic means of dissemination in order to increase its outreach and to reduce reliance on print media. Most of the information provided by the secretariat is now available in electronic form, via its site on the WWW. This site is currently being redesigned for further ease of use and expanded content, including the addition of text-only versions of the official documents to ensure easier transfer and the application of new protocols allowing easier searches. Official documents in additional United Nations languages might be available by the seventh session of the SBI.

19. For those without access to the Internet, the secretariat has produced the Web site of the Climate Change secretariat on CD-ROM. This CD-ROM provides the full contents of the web site of the secretariat, including all official documents of the negotiations as well as the necessary software. The first release of the CD-ROM was distributed during the second session of the COP. An updated version, which enables users to carry out a full text search of official documents, was made available to the delegates at the December 1996 and February/March 1997 meetings of the subsidiary bodies. The CD-ROM will be regularly updated and distributed.

20. Progress was also made with regard to CC:INFO/Web, a pilot initiative of the secretariat. This initiative has been undertaken to encourage Parties to develop national web sites on climate change and the implementation of the Convention and to foster the growth of a network of such sites for sharing information and ideas, including for the preparation of national communications. CC:INFO/Web was developed with the assistance of the Ministry of Science and Technology of Brazil and funding from the Ministry for Economic Cooperation of the Federal Republic of Germany. It has also taken account of comments, suggestions and observations from Parties which expressed interest in joining this initiative and contributed to its development, particularly, Egypt, Jordan, Malaysia, Senegal, Seychelles, United Republic of Tanzania, Thailand, Uganda, Venezuela, Zambia, and Zimbabwe.

21. The secretariat has completed the CC:INFO/Web CD-ROM 1.0, which provides tools for developers of the Web, including a step-by-step tutorial kit and leading software. This CD-ROM was distributed to delegates attending the 5th meeting of the SBI and to more than 100 other relevant individuals and organizations.

E. Training

22. CC:TRAIN is a three-year UNDP project that supports the efforts of 17 developing countries in various regions to implement the Convention, particularly in preparing their initial national communications. CC:TRAIN is funded by the GEF and bilateral donors, and executed by the United Nations Institute for Training and Research (UNITAR) in collaboration with the Climate Change secretariat and the Information Unit on Conventions of UNEP.

23. Since the fifth session of the SBI, CC:TRAIN has helped to organize workshops on climate change and the UNFCCC in Chad (28-29 March), Benin (7-8 April), Peru (21-22 April), Paraguay (23-25 April), and Ecuador (13-14 May). Two training workshops on the preparation of national GHG inventories were also held in Chad (1-3 April) and Benin (9-11 April). Additional regional technical training workshops on inventory, mitigation, and vulnerability and adaptation will take place in Africa, Latin America and the Pacific region between May and October 1997. Seventeen national workshops on preparing a national strategy to implement the Convention will also be held in the course of 1997.

24. Contracted by the secretariat, UNITAR/CC:TRAIN is completing the development of a presentation and information package designed to inform national decision and policy-makers on the guidelines for the national communications of non-Annex I Parties. This will be available in English, French and Spanish.

25. In the next three months, training packages will be published by CC:TRAIN regional partner institutions in Africa, Latin America and the Caribbean and the Pacific on (a) preparing a GHG inventory based on IPCC guidelines; (b) preparing a mitigation analysis based on IPCC guidelines; (c) preparing a vulnerability and adaptation assessment based on IPCC guidelines; and (d) preparing a national strategy to implement the UNFCCC. These packages will be ready between August and November 1997. The CC:TRAIN regional partner institutions are also available to assist related projects and programmes in the region.

III. ACTION BY THE SBI

26. The SBI may wish to take note of the activities of the secretariat to facilitate the provision of financial and technical support contained in this progress report, and provide guidance to the secretariat.

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ADMINISTRATIVE AND FINANCIAL MATTERS

Proposed Programme Budget of the Convention for the Biennium 1998-1999

Note by the Executive Secretary

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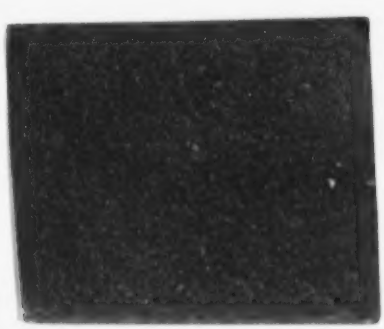

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I. INTRODUCTION

A. Mandate

1. The core administrative costs of the Conference of the Parties (COP), its subsidiary bodies and the Convention secretariat are met through a biennial programme budget to which contributions are made each year by Parties on the basis of an indicative scale. Both the budget and the scale are adopted by consensus by the COP. The budget is to be adopted prior to the commencement of each biennium. (See annex I of decision 15/CP.1.)

2. The next programme budget will be for the biennium 1998-1999 and is to be adopted by the COP at its third session (COP 3). In preparation for this, the Subsidiary Body for Implementation (SBI), at its fifth session (SBI 5), endorsed a timetable and a process for the review and adoption of the programme budget. This timetable provides for the SBI at its sixth session (SBI 6) to complete its review of the budget and to recommend a budget decision to COP 3 for adoption. The budget process set out in the SBI conclusions recognizes that some elements of uncertainty might not be removed until COP 3 convenes in December 1997 but that it will be necessary, nevertheless, for the Executive Secretary to notify the Parties by 1 October 1997 of the indicative contributions due to the budget by 1 January 1998. It also envisages that COP 3 will adopt the budget as recommended by the SBI 6, except for any modifications that may result from other decisions of COP 3 that have budgetary implications. (See FCCC/SBI/1997/6, paragraph 29.)

3. The conclusions of the SBI also required the Executive Secretary to propose to the sixth session of that body a comprehensive, detailed and timely programme budget for the biennium 1998-1999 (FCCC/SBI/1997/6, para. 29 (a) and (b)). This note seeks to respond to the requirements of the SBI. The results of any informal inter-sessional consultations that the Chairman of the SBI might convene, as envisaged in the SBI conclusions (FCCC/SBI/1997/6, para. 29 (c)), will be reflected in the secretariat's introduction of this document to SBI 6.

B. Scope of the note

4. The proposed programme budget for the biennium 1998-1999, contained in this document, builds upon the perspectives and the approach presented by the Executive Secretary to SBI 5 in document FCCC/SBI/1997/3, which will also be made available to SBI 6. The essence of the approach is that the proposed work programme for 1998-1999 has been constructed from a zero base. Consequently, the structure and outputs of the programmes and subprogrammes, as well as the resources required to deliver the latter, cannot always be compared with elements of the current programme budget for 1996-1997. The only elements that can be compared thus are the overall staffing table of the secretariat and the total amount of resources sought. These comparisons are made in the present document. (See tables 13 and 14 and paragraphs 30 and 31 below.)

5. The main difference between the core budget proposals in the present document and the estimates considered by SBI 5 is the reduction in the proposed staffing of the secretariat (which amounts to 9 fewer additional posts in 1998, and 13 fewer additional posts in 1999).[1] A number of other cost items have also been revised downwards. The total amount of programme expenditures envisaged has also decreased to circa $9.7 million in 1998 and $10.7 million in 1999. The comparable estimates presented to SBI 5 were that $11.2 to $11.7 million would be required in 1998, and that $12.6 to $13.1 million would be needed in 1999. These adjustments take account of concerns expressed by some Parties that the staffing and resource levels presented to SBI 5 were too high, as well as the initial comments made by Parties in the SBI and the Subsidiary Body for Scientific and Technological Advice (SBSTA) concerning the content and scope of proposed programme activities.

6. In addition, there are a few presentational modifications:

(a) The programme for "Conference Management and Information Services" (CMIS) has been renamed "Conference and Information Support" (CIS). Its subprogrammes have also been renamed in consequence;

(b) The resources envisaged for the "Policy-Making Organs" programme, covering costs related to sessions of Convention bodies, have been incorporated into the programmes for Conference and Information Support, and Resources, Planning and Coordination. Consequently, the proposed budget no longer includes a programme for policy-making organs. This will not affect the services provided to the Convention bodies and is intended to further streamline the financial management of the secretariat; and

(c) The secretariat's plans for the Trust Fund for Supplementary Activities have evolved since SBI 5 and now include a proposed Fellowship Programme and resources for outreach activities to non-governmental actors.

7. An explanation of factors and assumptions taken into consideration in preparing the proposed budget is in section II of this note. The budget itself is presented in section III. It has been divided by programme and, when applicable, further broken down into subprogrammes. **Detailed information on activities and resource needs are to be found in FCCC/SBI/1997/INF.1.** The presentation of each programme includes summary tables of programme staffing and resource requirements from the core budget. These tables are consolidated at the end of the section III into tables that show staffing and resource needs for the whole secretariat (see section III B, tables 13 and 14).

8. An important feature of the detailed information on subprogrammes in document FCCC/SBI/1997/INF.1 is the attempt to describe the limits of the activities that the secretariat

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[1] Both sets of estimates exclude overhead charges, working capital reserve, and the contribution of the Government of Germany.

proposes to undertake and, in some cases, to specify activities that will not be undertaken. These limits arise from mandates, or lack thereof, as well as from the secretariat's estimates of what can be achieved with available resources. In some cases, the limits relate to assumptions about the availability of supplementary financing.

9. The proposed budget is followed by section IV relating to contingencies. This section provides a description of the resources that would be required to undertake additional work related to:

(a) A post-Kyoto intergovernmental process (contingent upon a decision by COP 3); and

(b) Conference servicing, should the UNFCCC be required to take on this responsibility in the coming biennium (contingent upon a decision by the United Nations General Assembly at its 52nd session).

10. Annexes I and II to this note provide presentations of the respective resources needed for the Trust Fund for Participation in the UNFCCC Process and the Trust Fund for Supplementary Activities. Annex III contains a summary of resource estimates for the coming biennium from all funding sources. A report on the review of administrative arrangements will be issued at a later date.

C. Possible action by the SBI

11. To facilitate the review and consideration of the proposed programme budget, the Chairman of the SBI may wish to convene informal consultations at the start of SBI 6. He may also wish to invite the Chairman of the SBSTA to encourage delegations to involve their experts from SBSTA in the review of those aspects of the programme budget relevant to SBSTA, particularly with regard to the methodology subprogramme.[2]

12. In accordance with its conclusions at its fifth session, the SBI may wish to:

(a) Recommend to COP 3 a budget decision with the following elements:

(i) A total programme budget of $21,507,300 for the biennium 1998-1999, for the purposes listed in table 1 below (not including contingency items[3]);

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[2] The SBSTA will consider at its sixth session a programme of work on methodologies (see FCCC/SB/1997/INF.2). This programme of work is relevant to the resource requirements of the Science and Technology programme.

[3] A post-Kyoto intergovernmental process and conference servicing.

(ii) secretariat-wide staffing table broken down by level, as included in this document as table 13 (see page 17);

(iii) The level of remuneration of the post of Executive Secretary and of the other two senior posts in the staffing table;

(iv) A provision enabling the Executive Secretary to transfer resources among programmes within limits, repeating the provision contained in decision 17/CP.1, paragraph 5 (which is in accordance with paragraph 6 of the financial procedures); and

(v) A working capital reserve level of 8.3 per cent.

(b) Recommend to the COP that approved levels of resources be included in the programme budget on a contingency basis for the following activities:

(i) Implementation of a post-Kyoto intergovernmental process, should this be decided by COP 3; and

(ii) Conference servicing of meetings of the Convention bodies, should the General Assembly at its 52nd session not provide for this in the United Nations programme budget for 1998-1999.

(c) Recommend to COP 3 that it take note of the funding estimates for the Trust Fund for Participation in the UNFCCC Process and the Trust Fund for Supplementary Activities under the UNFCCC (see annexes I and II);

(d) Invite the President of the COP to communicate forthwith to the Secretary-General of the United Nations the recommended level of remuneration of the post of Executive Secretary so that an appointment to that post may be made for a period beginning 1 January 1998; and

(e) Authorize the Executive Secretary to notify the Parties by 1 October 1997 of their indicative contributions due to the core budget by 1 January 1998 on the basis of the budget it recommends to COP 3 and, to this end, authorize the Executive Secretary to adapt the indicative scale of contributions (decision 15/CP.1, paragraph 7 (a) and annex II) to any changes that may be agreed by the General Assembly in the United Nations scale of assessments and request him to inform SBI 6 of any such adaptations.

Table 1
PROPOSED PROGRAMME BUDGET FOR THE BIENNIUM 1998-1999
(thousands of United States dollars)

Expenditures	1998	1999
I Programmes		
Executive Direction and Management	623.8	640.3
Science and Technology	2,051.9	2,577.3
Implementation	3,251.4	3,363.5
Conference and Information Support	1,957.8	2,167.1
Resources, Planning and Coordination	1,786.4	1,918.1
Subtotal (I)	9,671.3	10,666.3
II Payments to the United Nations		
Overhead charge[4]	1,257.3	1,386.6
Subtotal (II)	1,257.3	1,386.6
III Working capital reserve[5]	207.7	93.3
Subtotal (III)	207.7	93.3
Total Expenditure Lines (I+II+III)	11,136.3	12,146.2
Income		
I Contribution from the host Government	887.6	887.6
Total Income	887.6	887.6
NET TOTAL	10,248.7	11,258.6

[4] Standard 13 per cent applied by the United Nations for administrative support.

[5] In accordance with paragraph 14 of the financial procedures (see decision 15/CP.1). This will bring the level of the working capital reserve to $907,100 in 1998 and $1,000,400 in 1999 (see paragraphs 17 to 19).

II. CONTEXT OF THE PROPOSED BUDGET

A. Structure

13. The programme budget for 1998-1999 has been prepared on the basis of the secretariat structure presented to SBI 5 (see FCCC/SBI/1997/3, paras. 20-45), with the modifications indicated in paragraph 6 above. Figure 1 at the end of this section illustrates the programme structure and the proposed allocation of staff by subprogramme.

B. Overhead charge and its use

14. Following standard practice, the Convention is required to pay a thirteen per cent overhead charge to the United Nations to cover the costs of the administrative services it provides to the Convention. The United Nations Department of Administration and Management (DAM) returns a portion of these payments to the Convention secretariat to help cover the costs of the secretariat's financial management and administration subprogramme.

15. In 1996, overhead funds were returned to finance the costs of one professional and two general service posts (all three of which had been approved by COP 1 as part of the core budget). Funding was increased in 1997 to finance one additional professional and two additional general service posts.

16. These arrangements are being reviewed with DAM and United Nations Office at Geneva (UNOG). The result of the review will be reported to the SBI. It is foreseen, nevertheless, that the arrangements will continue in 1998 and 1999. The secretariat will seek overhead resources for additional administrative posts in the professional and general service categories. The resource allocations contained in the proposed budget reflect the assumption that overhead funds will be provided for all administrative posts required throughout the coming biennium. Should this not be the case, resource needs for the secretariat's administration would need to be reconsidered.

C. Working capital reserve

17. In paragraph 14 of its decision 15/CP.1, annex I, the COP decided that a working capital reserve should be maintained to "ensure continuity of operations in the event of a temporary shortfall of cash". The level of this reserve is to be determined from time to time by the COP by consensus.

18. The reserve level was set at 8.3 per cent of expenditures (representing one month of operating requirements) for both 1996 and 1997 (see decisions 17/CP.1, para. 1, and 16/CP.2, para. 6, respectively). This amounted to $619,300 in 1996 and $699,400 in 1997 (that is, an additional $80,100 over 1996). The level is scheduled to be reviewed again at COP 3 (see decision 16/CP.2, para. 6).

19. Budget requirements for the coming biennium have been calculated in anticipation of the reserve level being maintained at 8.3 per cent of expenditures in both years. As the bulk of this reserve would be constituted by funds carried over from 1997, the budget proposed in this document includes only the allocations that will be necessary to raise the reserve to 8.3 per cent of 1998 and 1999 expenditures ($207,700 and $93,300 respectively). These amounts would need to be revised in accordance with the level of the agreed budget, and in the event that the COP decides to set a different reserve level in either or both years.

D. Standard figures used in calculating staff costs

20. The figures used in calculating staff costs in the budget proposed for the biennium 1998-1999 are based on the standard figures used in the preparation of the United Nations programme budget for the same biennium, taking Bonn as duty station. They include both salaries and common staff costs (benefits and entitlements estimated at 33 per cent of net salary plus post adjustment for professionals, and 25 per cent of net salary adjustment for general service staff members). The assumed exchange rate is US$1 = DM 1.69. These figures are listed in table 2 below.

Table 2

STANDARD FIGURES USED IN CALCULATING STAFF COSTS

(United States dollars)

Level	1998	1999
Assistant Secretary-General (ASG)	185,203	190,520
D-2	170,100	174,983
D-1	159,741	164,327
P-5	152,625	157,006
P-4	137,147	141,084
P-3	118,348	121,746
P-2	94,327	97,035
General Service	52,832	54,371

E. Other methods and assumptions used

21. The following methods have been followed in preparing the proposed programme budget:

(a) All of the staffing tables contained in this document reflect work-years of employment rather than fixed positions or posts;

(b) Programme support costs (such as communications, office supplies, maintenance) have been grouped under the financial management and administration subprogramme of the RPC programme, rather than being distributed by programme; and

(c) Each programme's direction and management subprogramme includes the temporary assistance and overtime costs for the programme as a whole.

22. For budgetary calculations, it has been assumed that:

(a) Resource needs should be determined on the basis of the annual calendar of meetings envisaged by the SBI, that is, two sessional periods, each lasting two weeks and one of which would include a one-week meeting of the COP (see FCCC/SBI/1997/6);

(b) The portion of the overhead charge returned to the secretariat will be sufficient to cover all administrative staff costs;

(c) The 'Bonn Fund'[6] will be sufficient to cover a portion of the CIS programme's staff costs; and

(d) During the coming biennium:

(i) The level of remuneration of the Executive Secretary will be maintained at the level of Assistant Secretary-General in the United Nations Secretariat structure; and

(ii) The two other senior posts will be maintained at the D-2 level.

Both of the assumptions in (d) above are subject to review at COP 3 (see decisions 14/CP.1 and 14/CP.2). Should they prove incorrect, minor adjustments to the budget will be necessary;

(e) Following a practice adopted in the previous programme budget, the Convention will maintain an annual contribution to the Intergovernmental Panel on Climate Change (IPCC) throughout the coming biennium. It is proposed in this budget that the level of support be set at $350,000 in 1998 and $400,000 in 1999 and included in the S&T programme. The increase in 1999 responds to the calendar for preparation of the Third Assessment Report;

23. Changes in any of the above assumptions may result in changes in the resources required in the Convention's core budget and/or trust funds for the biennium 1998-1999.

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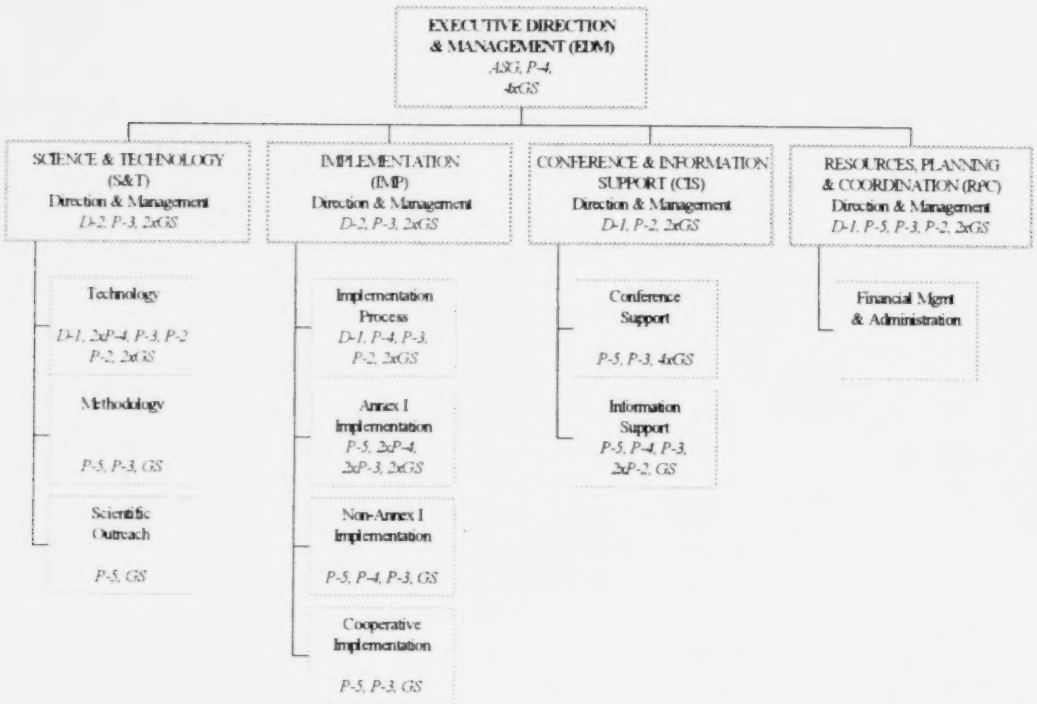
[6] An annual contribution of the Government of Germany of DM 3.5 million intended largely for the organization of events in Germany.

Figure 1

PROPOSED PROGRAMME STRUCTURE AND CORE STAFFING FOR THE BIENNIUM 1998-1999*



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* Posts as at the end of the biennium; some posts are phased in on 1 April 1998, 1 July 1998 or 1 January 1999. Does not include posts included in contingencies.

III. PROPOSED BUDGET OF THE CONVENTION FOR THE BIENNIUM 1998-1999

A. Programmes of work

24. The programme budget for 1998-1999 consists of five programmes of work. These are Executive Direction and Management; Science and Technology; Implementation; Conference and Information Support; Resources, Planning and Coordination. The descriptions of these programmes in document FCCC/SBI/1997/3 remain valid. This section of the present document contains tables showing the staffing and resource requirements from the core budget for each of these programmes, together with a summary description of the programme. Each programme, other than that for Executive Direction and Management, includes a subprogramme for direction and management and one or more other subprogrammes. Details of activities and resource requirements at the level of subprogrammes are given in FCCC/SBI/1997/INF.1.

25. The **Executive Direction and Management (EDM)** programme enables the Executive Secretary to provide overall direction and guidance to the secretariat, ensuring the coherence of the secretariat's activities, its proposals to Convention bodies and its advice to their officers. To this end, the programme organizes internal management processes and ensures an adequate flow of information throughout the secretariat. It also coordinates the representation of the secretariat in external meetings. Through the Executive Secretary, this programme is the principal interface between the secretariat and the Parties. The Executive Secretary is also accountable to the Secretary-General of the United Nations, *inter alia* for the observance of the Financial and Staff Regulations and Rules of the United Nations.

Table 3

EDM STAFFING REQUIREMENTS FROM THE CORE BUDGET

		1998	1999
A.	Professional category and above		
	Executive Secretary	1	1
	P-4	1	1
	Total A	2	2
B.	General Service category	4	4
	Total B	4	4
	TOTAL (A+B)	6	6

Table 4

EDM RESOURCE REQUIREMENTS FROM THE CORE BUDGET BY OBJECT OF EXPENDITURE

(thousands of United States dollars)

	Item of expenditure	1998	1999
A.	Staff costs	572.3	588.8
B.	Travel on official business	51.5	51.5
TOTAL (A+B)		623.8	640.3

26. The **Science and Technology (S&T)** programme coordinates the secretariat's support to the SBSTA and is the principal interface at the secretariat level with the IPCC and other intergovernmental processes of a scientific and/or technical nature. Through three subprogrammes, it carries out the secretariat's work on technology (including its transfer and the analysis of related technical issues), methodology and science. It also includes the contribution of the Convention to the IPCC budget.[8]

Table 5

S&T STAFFING REQUIREMENTS FROM THE CORE BUDGET

		1998	1999
A.	Professional category and above		
	D-2	1	1
	D-1	0.5	1
	P-5	1.75	2
	P-4	1	2
	P-3	3	3
	P-2	0	1
	Total A	7.25	10
B.	General Service category	5	6
	Total B	5	6
	TOTAL (A+B)	12.25	16

[8] See tables 5 and 6. The staffing and other resources required from the core budget for implementation of the methodology subprogramme need to be reviewed on the basis of guidance from the SBSTA on the programme of work on methodologies it will consider at its sixth session (see FCCC/SB/1997/INF.2).

Table 6

S&T RESOURCE REQUIREMENTS FROM THE CORE BUDGET BY OBJECT OF EXPENDITURE

(thousands of United States dollars)

	Item of expenditure	1998	1999
A.	Staff costs	1,337.4	1,789.8
B.	Consultants	192.0	192.0
C.	Expert Groups	60.0	54.0
D.	Travel on official business	112.5	141.5
E.	Grants/contributions	350.0	400.0
TOTAL		2,051.9	2,577.3

27. The **Implementation (IMP)** programme coordinates the secretariat's support for the SBI and the Ad Hoc Group on Article 13 (AG13) and is the principal interface at the secretariat level with the Global Environment Facility (GEF) and other financial institutions. Through four subprogrammes, it carries out the work of the secretariat on the compilation, synthesis and publication of information relating to the implementation of the Convention by the Parties, support for the establishment of a multilateral consultative process, guidelines for communications and for their review or consideration, the in-depth review of communications by Annex I Parties, the facilitation of communications by non-Annex I Parties, the financial mechanism of the Convention and the pilot phase of activities implemented jointly.

Table 7

IMP STAFFING REQUIREMENTS FROM THE CORE BUDGET

		1998	1999
A.	Professional category and above		
	D-2	1	1
	D-1	1	1
	P-5	2.75	3
	P-4	4	4
	P-3	6	6
	P-2	1	1
	Total A	15.75	16
B.	General Service category	8	8
	Total B	8	8
	TOTAL (A+B)	23.75	24

Table 8

IMP RESOURCE REQUIREMENTS FROM THE CORE BUDGET BY OBJECT OF EXPENDITURE

(thousands of United States dollars)

	Item of expenditure	1998	1999
A.	Staff costs	2,581.4	2,695.0
B.	Consultants	258.0	258.0
C.	Expert Groups	195.0	201.0
D.	Travel on official business	217.0	209.5
	TOTAL	3,251.4	3,363.5

28. The **Conference and Information Support (CIS)** programme, through two subprogrammes, ensures that the Convention bodies receive the facilities, documentation and other services necessary for their work, including services provided by the United Nations Secretariat, manages arrangements related to participation by Parties and observers in Convention bodies, and provides the secretariat with its information systems, including the communication and computer system, data bases, and the dissemination of documentation and other information. This programme is the principal interface of the secretariat with the information media.[9]

Table 9

CIS STAFFING REQUIREMENTS FROM THE CORE BUDGET

		1998	1999
A.	Professional category and above		
	D-1	1	1
	P-5	2	2
	P-4	1	1
	P-3	2	2
	P-2	2.5	3
	Total A	8.5	9
B.	General Service category	7	7
	Total B	7	7
	TOTAL (A+B)	15.5	16

[9] See tables 9 and 10. The staffing and other resources required from the core budget for the implementation of the confer ence support subprogramme have been estimated on the assumption of the availability of supplementary resources from the Bonn Fund.

Table 10

CIS RESOURCE REQUIREMENTS FROM THE CORE BUDGET BY OBJECT OF EXPENDITURE

(thousands of United States dollars)

	Item of expenditure	1998	1999
A.	Staff costs	1,658.3	1,751.1
B.	Consultants	108.0	108.0
C	Travel on official business	66.5	66.5
D.	Acquisition of furniture equipment[10]	125.0	241.5
	TOTAL	1,957.8	2,167.1

29. The **Resources, Planning and Coordination (RPC)** programme supports the Executive Secretary in planning and coordinating the secretariat's work programme and mobilizing financial resources for it, as well as in ensuring substantive support for the COP and its Bureau and providing legal advice to Convention bodies. It is the main interface of the secretariat with the principal coordinating mechanisms of the United Nations that are relevant to the Convention process. This programme incorporates a subprogramme on financial management and administration, funded by the return of overhead funds, that provides the secretariat with the whole range of administrative services, in cooperation with the relevant services of the United Nations Secretariat. General support costs for the entire secretariat, such as general operating expenses, communications, supplies, materials, office furniture and equipment are charged to this programme rather than being allocated to separate programmes.

Table 11

RPC STAFFING REQUIREMENTS FROM THE CORE BUDGET

		1998	1999
A.	Professional category and above		
	D-1	1	1
	P-5	1	1
	P-3	1	1
	P-2	0.5	1
	Total A	3.5	4
B.	General Service category	2	2
	Total B	2	2
	TOTAL (A+B)	5.5	6

[10] Includes the resources necessary to meet estimated computer hardware and software needs for all staff and other uses cov ered by the core budget.

Table 12

RPC RESOURCE REQUIREMENTS FROM THE CORE BUDGET BY OBJECT OF EXPENDITURE

(thousands of United States dollars)

	Item of expenditure	1998	1999
A	Staff costs	634.3	701.1
B	Consultants	54.0	54.0
C	Travel on official business	45.5	45.5
D	General operating expenses	257.6	325.0
E	Supplies and materials	100.0	100.0
F	Furniture and equipment	70.0	52.5
G	Contractual services	100.0	100.0
H	Contribution to joint activities	525.0	540.0
TOTAL		1,786.4	1,918.1

B. Summary

Table 13

SECRETARIAT-WIDE STAFFING REQUIREMENTS FROM THE CORE BUDGET

		1997	1998	1999
A	Professional category and above			
	Executive Secretary	*1*	1	1
	D-2	*2*	2	2
	D-1	*4*	3.5	4
	P-5	*6*	7.5	8
	P-4	*5*	7	8
	P-3	*8*	12	12
	P-2	*4*	4	6
	Total A	*30*	37	41
B	General Service category	*17*	26	27
	Total B	*17*	26	27
	TOTAL (A+B)	*47*	63	68

Table 14

SECRETARIAT-WIDE RESOURCE NEEDS FROM THE CORE BUDGET

(thousands of United States dollars)

	Item of expenditure	*1997*	1998	1999
A	Staff costs	*5,105.5*	6,783.8	7,525.8
B	Consultants	*271.7*	612.0	612.0
C	Expert Groups	*209.9*	255.0	255.0
D	Travel on official business	*480.6*	493.0	514.5
E	Contractual services	*81.2*	100.0	100.0
F	Supplies and materials	*119.4*	100.0	100.0
G	Acquisition furniture equipment	*96.9*	195.0	294.0
H	General operating expenses	*413.4*	257.5	325.0
I	Contributions to joint activities	*332.8*	525.0	540.0
J	Grants and contributions	*310.6*	350.0	400.0
	TOTAL	*7,422.0*	9,671.3	10,666.3

30. In relation to staff costs approved by the COP for 1997, staff costs increase by 32.9 per cent in 1998 and 47.4 per cent in 1999. These increases are concentrated in the lower professional grades (P-2 to P-4) and in general service staff, as shown in table 13. They reflect, in the main, a general adaptation to the demand for substantive documentation for Convention bodies and for better organization of their sessions. While growth in the former demand will be felt across the secretariat, the latter will be borne mainly by the staff of the CIS programme, which will also respond to demand for information products and provide office technologies to the whole secretariat. In terms of programme content, the main areas of proposed growth are the subprogrammes on technology and methodology, in the S&T programme.

31. The resource requirements for many non-staff costs also vary from those approved for 1997. The estimates for the current budget were made in early 1995, before experience had been acquired by the secretariat in servicing the Convention bodies and in operating in Bonn. Lessons learned from that experience indicate that staff work needs considerably more support by specialized consultants. They also point to the need for a higher allocation towards costs related to the Bonn premises, and a lower allocation for supplies and materials. In addition, the allocation for furniture and equipment enjoyed a windfall benefit in 1997, on account of the generous contribution by the Government of Germany to the initial equipping of the secretariat. In the coming biennium, this budget line will have to be fully funded, meeting needs for new work stations and for normal replacement of computer hardware.

IV. CONTINGENCIES

A. Post-Kyoto intergovernmental process

32. As was noted by the Executive Secretary in the perspectives on financial requirements submitted to SBI 5, the secretariat will need resources above and beyond those included in this programme budget should COP 3 establish an ad hoc inter-governmental process to implement the outcomes of the Berlin Mandate (see FCCC/SBI/1997/3, paras. 79-80) and/or to launch a 'prompt start' process. These resources would be used to support a new programme within the secretariat's structure, which would consist of three staff members, two professional and one general service. The main function of this programme would be to manage and provide support to any post-Kyoto process by preparing documentation, organizing meetings, and supporting a bureau. Its capacity to conduct analytical work would be limited; resources in addition to those below would be a prerequisite to substantial amounts of analytical work being undertaken. Should the Kyoto instrument, or related decisions, result in additional programme-related work (regarding, for example, national communications, reviews or methodological issues), this could be integrated into the appropriate programme to the extent the resources are provided for this process. The staffing and resources requirements are presented in tables 15 and 16 below.

Table 15

STAFFING REQUIREMENTS FOR THE POST-KYOTO CONTINGENCY

		1998	1999
A	Professional category and above		
	D-1	0.5	1
	P-3	0.5	1
	Total A	1	2
B	General Service category	0.5	1
	Total B	0.5	1
	TOTAL (A+B)	1.5	3

Table 16

RESOURCE REQUIREMENTS FOR THE POST-KYOTO CONTINGENCY

(thousands of United States dollars)

Item of expenditure		1998	1999
A.	Staff costs		
	Posts	165.5	340.5
	Overtime	2.2	4.5
B.	Consultants	54.0	54.0
C.	Travel on official business	20.5	45.5
SUBTOTAL		242.2	444.5
Overhead charge		31.5	57.8
Cash reserve		22.7	41.7
TOTAL		296.4	544.0

B. Conference servicing

33. In the event that the General Assembly decides not to include the needs of the UNFCCC in its regular budget for the biennium 1998-1999, the Parties would have to assume these costs within the Convention budget (see FCCC/SBI/1997/3, paras. 58-66).

34. The following proposed contingency budget for the biennium 1998-1999 has been prepared in response to this eventuality. It is based on the 1996 statistics for conference servicing as provided by UNOG (the body presently charged with the Convention's conference servicing). The estimates have been calculated on the basis of the prevailing standard rates for contractual conference servicing (as applied by a number of qualified suppliers known to observe United Nations rules and regulations concerning the recruitment of short-term conference staff and the processing of documentation) and taking into consideration the need to maintain the current quality of services.[11]

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[11] The in-house rates applied by UNOG have not been applied, due to the fact that the organization is obliged to prepare cost estimates on the basis of unit rates which include fixed staff costs and are therefore much higher than the actual rates. However, depending on the availability of freelance translators and interpreters during a given period, UNOG's actual rates could be just as competitive, if not more so, than those applied by private suppliers.

35. In order to secure conference servicing which guarantees maximum flexibility and cost-effectiveness while at the same time preserving the quality of work expected of a body affiliated to the United Nations, it is proposed that conference servicing requirements are split into the following categories:

(a) Meeting servicing (including provision of interpretation, local support staff, and overall supervision of meeting arrangements);

(b) Documentation production; and

(c) Other requirements.

36. Meeting servicing and documentation services would be put out to tender to selected private and United Nations sources (including UNOG), with contracts awarded to the most competitive bidders.

37. The process outlined above, which is similar to one under consideration by other international organizations and is based on Resolution 5.2.4 the World Meteorological Organization (adopted at its Twelfth World Congress), is seen as an effective way to simultaneously maximize limited financial resources and preserve the quality of work. It has been developed based on new information obtained subsequent to SBI 5, and is expected to be more cost effective than the options presented previously (namely, contracting all services from UNOG, from a fixed combination of United Nations and private sources, or from strictly private sources). The "other requirements" are largely fixed costs necessary to deliver the conference services.

38. Within the secretariat, the conference support subprogramme of CIS will be responsible for overseeing the provision of conference services. All additional regular and temporary staff members recruited to assist in activities relating to conference servicing will report to the manager of that subprogramme, and ultimately to the Coordinator of CIS.

Table 17

RESOURCE REQUIREMENTS FOR THE CONFERENCE SERVICING CONTINGENCY

(thousands of United States dollars)

Item of expenditure		1998	1999
I.	Meeting servicing[12]	419.4	431.5
II.	Documentation[13]	698.5	737.4
III.	Other requirements[14]	707.5	728.1
IV.	Travel of staff to meetings[15]	265.5	265.5
V.	Miscellaneous[16]	10.5	10.5
VI.	Contingencies and exchange rate fluctuation	63.0	65.2
	SUBTOTAL	2,164.4	2,238.2
VII.	Overhead charge[17]	281.4	291.0
VIII.	Working Capital Reserve[18]	203.0	6.9
	TOTAL	2,648.8	2,536.1

[12] Includes interpretation and meeting room staff.

[13] Includes revision, translation, typing, reproduction and distribution of pre-, in- and post-session documentation.

[14] Includes remote translation requirements, key supervisory staff, freight, communications.

[15] Includes travel of interpreters and key supervisory staff, including planning missions.

[16] Includes estimated cost of initial stock of meeting stationery and supplies.

[17] Standard 13 per cent applied by the United Nations for administrative support.

[18] In accordance with paragraph 14 of the financial procedures. The 1998 amount has been calculated as 8.3 per cent of the subtotal of I-VII, the 1999 amount has been calculated as the amount required to bring the carried-over 1998 reserve to 8.3 per c ent of the subtotal of I-VII for 1999.

I. Explanatory notes

(a) General assumptions used in preparing the above estimates:

(i) Venue of all meetings: Bonn, Federal Republic of Germany;

(ii) Duration: 20 working days per year (two two-week sessions per year), encompassing 80 meetings (reflects capacity for parallel meetings);

(iii) Languages of interpretation and translation: Arabic, Chinese, English, French, Russian, Spanish;

(b) Comments by section:

(i) Meeting servicing: Includes the costs of recruiting non-local conference room supervisors and teams of interpreters. The cost of meeting servicing depends mainly on the number of meetings held with interpretation and the number of languages required.

(ii) Documentation: Annual documentation requirements have been calculated based on the following estimates (based on historic averages):

Pre-session:	700 original pages
In-session:	200 original pages
Post-session:	400 original pages
Reproduction:	10,000,000 pages
Distribution:	200,000 documents

Rates used for the processing of documentation are based on a survey of prevailing rates for contractual translation applied within the United Nations system. Rates have been calculated assuming that only in-session and post-session documentation will be reproduced in Bonn, whereas all documentation will be distributed from Bonn. Documentation costs depend primarily on the number of documents produced, the length of each document, the number of languages for translation, and the number of copies required.

(iii) Other requirements: Regular staff includes an additional Programme Officer and four additional general service staff members for the conference support subprogramme of CIS; temporary staff and consultants include distribution supervisors, reproduction supervisors, technical specialists, and clerks. It is based on a combination of local and non-local recruitment.

(iv) Travel of staff to meetings: Necessary for interpreters and other short-term non-local supervisory staff. Costs have been calculated based on an average roundtrip fare between Paris/London/Vienna/ Geneva and Cologne.

(v) Miscellaneous: Includes photocopy paper for in-session documentation (based on the allocation within the regular budget of the United Nations).

Annex I

TRUST FUND FOR PARTICIPATION IN THE UNFCCC PROCESS

1. The Trust Fund for Participation in the UNFCCC Process is a special fund designed to receive voluntary contributions to support participation in sessions of the Convention bodies by representatives of developing-country Parties, particularly those that are least developed countries or small island developing States, and of other Parties with economies in transition. It was created by the Secretary-General of the United Nations and is managed by the Executive Secretary, in accordance with paragraph 15 of decision 15/CP.1. The current basic eligibility criterion for the funding of the participation of a Party is that its per capita gross domestic product was $ 5,500 or less in 1994. This criterion is reviewed from time to time, as new GDP data become available. In the event of a shortage in the fund, priority is given to support representation from least-developed countries and small island developing States.

2. Total expenditure from this Fund in 1996 amounted to $1.526 million. (Contributions received in 1996 were sufficient to fund the participation of only circa 75 per cent of all eligible recipients, although not all eligible Parties sought funding.) If contributions for the remainder of 1997 are enough to fund all eligible recipients for the sessions remaining in the year, it is projected that total expenditure for 1997 will amount to approximately $2.301 million.

3. At the most recent session of the subsidiary bodies (February/March 1997), 125 Parties were eligible for support. Based on an expectation that this number will increase, it is estimated that 130 Parties will be eligible for support from this Fund in 1998 and 135 in 1999. These Parties will need to be financed for two sessional periods of two weeks each, one of which will include a week-long meeting of the COP (see FCCC/SBI/1997/6).

4. The estimated resources needed for this fund to ensure provision of support to all eligible Parties at all sessions are provided in table 18 below.

Table 18

RESOURCE REQUIREMENTS FOR THE TRUST FUND FOR PARTICIPATION IN THE UNFCCC PROCESS

(thousands of United States dollars)

Item	1998	1999
Support for eligible Parties to participate in one two-week session of the subsidiary bodies	715.0	742.5
Support for eligible Parties to participate in one two-week session of the COP and its subsidiary bodies[19]	1,100.0	1,127.5
SUBTOTAL	1,815.0	1,870.0
Overhead charge[20]	236.0	243.1
Cash reserve[21]	205.1	211.3
TOTAL	2,256.1	2,324.4

[19] Includes funding for a second delegate from least developed countries and small island developing States in accordance with the practice at COP 1 and COP 2.

[20] Standard 13 per cent applied by the United Nations for administrative support.

[21] Calculated at 10 per cent.

Annex II

TRUST FUND FOR SUPPLEMENTARY ACTIVITIES

1. The Trust Fund for Supplementary Activities is used to support a variety of activities undertaken by the secretariat in response to needs and requests stemming from the Convention process. As these are continuously emerging, it is difficult to forecast too far in advance the precise levels of resources that will be required in this Fund. The COP at its first session noted projected supplementary funding levels of circa $1,310,460 in 1996 and $1,451,370 in 1997 (both figures include overheads).

2. Based on the positive feedback received from the Parties, the secretariat plans to extend the initiatives currently supported by this fund into the next biennium. The secretariat also plans to launch new activities, such as the Fellowship Programme and outreach to non-governmental actors. The resources that will be needed for the maintenance and/or development of these activities are indicated in table 22 below. Detailed descriptions of each activity can be found in FCCC/SBI/1997/INF.1.

Table 22

RESOURCE REQUIREMENTS FOR THE TRUST FUND FOR SUPPLEMENTARY ACTIVITIES [22]

(thousands of United States dollars)

Item of expenditure			1998	1999
I.	CC: INFO/Web			
	A.	Consultants	24.0	24.0
	B.	Participants	90.0	90.0
	SUBTOTAL		114.0	114.0
II.	CC: INFO Information services and products			
	A.	Staff costs	359.7	375.3
	B.	Consultants	372.0	372.0
	C.	External printing	125.0	125.0
	D.	Acquisition furniture/equipment	2.5	0.0
	E.	Communications	33.6	33.6
	SUBTOTAL		892.8	905.9
III.	Fellowship Programme			
	A.	Personnel service contracts	100.0	100.0
	SUBTOTAL		100.0	100.0
IV.	Workshops and meetings on implementation			
	A.	Expert Groups	258.0	258.0
	B.	Travel on official business	16.5	16.5
	SUBTOTAL		274.5	274.5
V.	Non-governmental outreach		206.0	211.0
	A.	Staff costs	125.0	130.0
	B.	Consultants	36.0	36.0
	C.	Expert Groups	30.0	30.0
	D.	Travel on official business	15.0	15.0
	SUBTOTAL		206.0	211.0
	TOTAL	**(I - V)**	1,587.3	1,605.4
	Overhead charge		206.3	208.7
	Cash reserve		269.0	272.1
	TOTAL		2,062.6	2,086.2

[22] Excludes bilateral funding arrangements.

Annex III

SUMMARY OF RESOURCE ESTIMATES FOR THE BIENNIUM 1998-1999

Table 23

SUMMARY OF RESOURCE ESTIMATES FOR THE BIENNIUM 1998-1999, BY PROPOSED SOURCE OF FUNDING [23]

(thousands of United States dollars)

Proposed source of funding	1998	1999
Core budget		
Proposed budget	10,248.7	11,258.6
Contingency: Post-Kyoto intergovernmental process	296.4	544.0
Contingency: Conference servicing	2,648.9	2,536.1
CORE BUDGET TOTAL	13,194.0	14,338.7
Trust Fund for Participation in the UNFCCC Process	2,256.1	2,324.4
Trust Fund for Supplementary Activities	2,062.6	2,086.2
TOTAL	17,512.7	18,749.3

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[23] Excludes bilateral funding arrangements.

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Item 8 of the provisional agenda

ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS

Note by the Executive Secretary

I. INTRODUCTION

A. Mandate

1. At its fifth session, the Subsidiary Body for Implementation (SBI):

(a) Requested the Executive Secretary to provide a note at its sixth session regarding arrangements for the third Conference of the Parties (COP 3), the organization of work and a list of possible elements for the provisional agenda for the Conference, taking account of views expressed at that session (FCCC/SBI/1997/6, para. 44 (b));

(b) Requested the secretariat to propose a calendar of meetings for 1998-1999 (FCCC/SBI/1997/6, para. 47 (b));

(c) Decided that it would recommend, at its sixth session, the date and venue of COP 4 (FCCC/SBI/1997/6, para. 47 (a)).

2. The present note deals successively with these three topics.

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B. Possible action by the SBI

3 The SBI is invited to:

(a) Give guidance to the secretariat regarding arrangements for COP 3, in particular, on the organization of its work and on the ministerial segment (see paragraphs 28-45);

(b) Confirm the calendar of meetings for 1998-1999, which is based on the decision of the SBI at its fifth session (two meeting periods per year of two weeks each);

(c) Make a recommendation regarding the date, and, if possible, the venue, of COP 4.

4 There are compelling reasons why the SBI should complete its consideration of all these points at its sixth session:

(a) The Executive Secretary should issue the provisional agenda for COP 3, including the annotations thereto and proposals for the organization of its work, at least six weeks before the opening of COP 3, that is, before the seventh session of the SBI;

(b) The number and duration of meeting periods is a key determinant of the programme budget for 1998-1999, on which the SBI is expected to make a firm recommendation at its sixth session;

(c) No offer to host COP 4 has reached the secretariat (as of 30 May 1997); fixing the date of COP 4 should make it easier for such offers to come forward in time for a decision to be taken by COP 3.

II. THIRD SESSION OF THE COP (COP 3)

A. Host country arrangements

5 At its fifth session, the SBI "took note with satisfaction of the arrangements that were being made by the Government of Japan as the host Party of COP 3 and it looked forward to additional information concerning these arrangements, in particular on the conclusion of a memorandum of understanding (MOU) between the Government of Japan and the secretariat of the UNFCCC related to the hosting of the session at Kyoto, Japan" (FCCC/SBI/1997/6, para. 44 (a)).

6 Discussions with the Government of Japan on practical arrangements and on an MOU have continued to advance. Advice on the latter has been sought from the United Nations

Office of Legal Affairs. Any additional information on these matters will be provided to the SBI at its sixth session.

B. Possible elements for the provisional agenda for COP 3

7. At its fifth session, the SBI "requested the Executive Secretary to provide a note at its sixth session, containing a list of possible elements for the provisional agenda for COP 3 focused on the completion of the work of the Berlin Mandate and its adoption and taking account of views expressed at its current session" (FCCC/SBI/1997/6, para. 44 (b)) and made recommendations on the organization of the work of COP 3.

8. Rules 10 and 11 of the draft rules of procedure, as applied, state that the provisional agenda for a session of the COP is to be drawn up by the secretariat in agreement with the President and circulated six weeks before the opening of the session (FCCC/CP/1996/2). As requested by the SBI, a list of possible elements for the provisional agenda of COP 3 is provided for its consideration (see annex II of this document). The Executive Secretary will take account of views expressed on this list at the session of the SBI when preparing a provisional agenda for the agreement of the President.

9. In the list of possible elements for the provisional agenda of COP 3, the focus on the completion of the Berlin Mandate process is provided by item 4.

10. Item 3, amendments to the Convention and its Annexes, is included in response to proposals for such amendments received by the secretariat. These are as follows:

(a) Kuwait has proposed to amend Article 4.3 by deleting the second sentence thereof and substituting a new one. The proposed new sentence would broaden the scope of funding under Article 4.3 and omit both the concept of agreement in relation to the costs to be funded and reference to Article 11.

(b) The Netherlands, on behalf of the European Community and its member States, has proposed the addition of a new paragraph under Article 17 (protocols), to be Article 17.1(bis), concerning the adoption of a protocol by a three-fourths majority of the Parties present and voting.

(c) Pakistan, at the request of Turkey, has proposed action by COP 3 to delete the name of Turkey from Annexes I and II to the Convention, by amendment of the annexes according to Articles 16 and 15 or through the review process envisaged in Article 4.2(f). Azerbaijan has made a proposal with the same intent, referring to Article 4.2(f).

11. The full text of these proposals for amendment will be circulated in a document of the COP. The SBI may wish to consider whether it would be useful for any or all of these proposals to be considered by a subsidiary body before COP 3 and, if so, to indicate which subsidiary body could undertake this task.

12 Item 5 in the list is derived from Article 7.2 of the Convention, which requires the COP to keep the implementation of the Convention under regular review. As drafted, this item is intended to cover consideration by COP 3 of the reports of the four subsidiary bodies and any action arising therefrom. It is expected that the reports of the subsidiary bodies on their sessions in October 1997 will contain recommended decisions for adoption by COP 3. The decision on the programme budget for 1998-1999 should be recommended by the SBI at its sixth session.

13 A separate sub-item under item 5 provides for the recurrent item on the development and transfer of technologies that is required by decision 13/CP.1, paragraph 4(a), and decision 7/CP.2, paragraph 5.

14 Item 5 could also serve as an umbrella for action on substantive matters that are not specified elsewhere on the agenda and have yet to be defined. For example, it could cover matters on which the COP is to take action not later than 31 December 1998 (Article 4.2(d) and Article 4.2(f)), if it were agreed that these matters should be dealt with at COP 3.

C. Organizational matters

1. Date

15 The SBI recommended that COP 3 be held from Monday, 1 to Wednesday, 10 December 1997 (FCCC/SBI/1997/6, para. 44 (c)(i)). The proposed organization of work is based on this recommendation.

2. Participation

(a) Notification and attendance

16 Rule 5 of the draft rules of procedure, as applied, provides that "the secretariat shall notify all Parties of the dates and venue of a session at least two months before the session is held" (FCCC/CP/1996/2). Formal notification of the third session will be communicated in due course to all Parties through the National Focal Points. For those Parties that have not yet identified National Focal Points, the notification will be sent to the Diplomatic Missions in Bonn, and to the Permanent Missions in New York or to the Ministries of Foreign Affairs for those Parties not represented in Bonn. The notification will be copied to Diplomatic Missions in Bonn and Permanent Missions in Geneva.

17 The notification will request that the representatives of Parties be provided with full powers to participate in the session by their Governments. These powers include the possibilities to vote and to serve as officers of the third session, of any sessional bodies and of all subsidiary bodies of the Convention.

(b) Financial support for participation

18. It is important that contributions to the trust fund for facilitating the participation of Parties in the UNFCCC process be forthcoming in the next few months, to ensure adequate support for participation in COP 3. It is hoped that it will be possible to fund two delegates from each Party that is a least developed country or an eligible small island developing country, and one delegate from each other eligible Party. Should funds be available, it would be possible to provide funding for two delegates from each eligible Party.

(c) Credentials

19. In accordance with rule 19 of the draft rules of procedure, as applied, the credentials of representatives of Parties, as well as the names of alternate representatives and advisers, shall be submitted to the secretariat no later than twenty-four hours after the opening of the session. Any later change in the composition of the delegation shall also be submitted to the secretariat. The credentials shall be issued either by the Head of State or Government or by the Minister of Foreign Affairs or, in the case of a regional economic integration organization, by the competent authority of that organization. The Bureau of COP 3 shall examine the credentials and submit its report to the Conference in accordance with rule 20 of the draft rules of procedure, as applied. As stated in rule 21 of the draft rules of procedure, as applied, representatives shall be entitled to participate provisionally in the session, pending a decision by the COP to accept their credentials (CP/1996/2).

3. Rules of procedure

20. At its second session, the Conference of the Parties did not adopt its rules of procedure. Nevertheless, it decided to continue to apply the draft rules of procedure to its work. The President announced his intention to carry out further consultations during the inter-sessional period with a view to enabling the Conference of the Parties to adopt its rules of procedure at the outset of its third session (FCCC/CP/1996/15, para. 13).

21. It is to be hoped that the issues underlying the different positions on rule 42 ("Voting") will have been resolved by the start of COP 3, so that the rules may be adopted at the start of the session.

4. Officers

22. In accordance with rules 23 and 26 of the draft rules of procedure, as applied, the President of the second session of the COP will open and preside over the third session until it has elected a President for the session. The hosting of a session of the COP away from the headquarters of the secretariat traditionally confers the Presidency upon the host Government. The delegation of Japan has indicated its readiness to accept that responsibility, which is consistent also with the principle of rotation among regional groups. Further consultations will be required to determine the composition of the Bureau of COP 3, as well as the officers

of the subsidiary bodies, as appropriate, in accordance with the provisions of rule 22 of the draft rules of procedure, as applied. The SBI may wish to request the President of COP 2 to pursue informal consultations on the election of officers of COP 3.

23. The elected President of the third session will invite the COP to elect the remainder of its officers and the Chairmen of the subsidiary bodies established by Articles 9 and 10 of the Convention. Rule 27 of the draft rules of procedure, as applied, provides that "each subsidiary body shall elect its own Vice-Chairman and Rapporteur". It is proposed that, if there is agreement on the nominations of these officers of subsidiary bodies, the provisions of rule 27 should be waived to allow these officers to be elected directly by the COP in plenary session.

5. Admission of organizations as observers

24. The admission of intergovernmental and non-governmental organizations as observers is governed by paragraph 6 of Article 7 of the Convention, which provides, *inter alia*, that "Any body or agency, whether national or international, governmental or non-governmental, which is qualified in matters covered by the Convention, and which has informed the secretariat of its wish to be represented at a session of the Conference of the Parties as an observer, may be so admitted unless at least one third of the Parties present object".

25. Following the practice of the UNFCCC, the secretariat will invite those intergovernmental and non-governmental organizations admitted to COP 1 and COP 2 to attend COP 3. Thus the procedure for admission to the COP will apply to new applicants only.

26. The secretariat will prepare a list of intergovernmental and non-governmental organizations that have expressed a wish to be invited to COP 3 for consideration by the Conference at the start of the session. In drawing up the list, the secretariat will take due account of the provisions of paragraph 6 of Article 7 of the Convention and of the established practice whereby non-governmental organizations are required to furnish proof of their non-profit, tax-exempt status in a State Member of the United Nations or of a specialized agency or of the International Atomic Energy Agency. The list will include all organizations that have requested and been accorded provisional admission to the work of the subsidiary bodies since COP 2.

27. In accordance with past practice, the SBI may request the Bureau of the COP to consider the list of applicants, prior to the third session, with a view to establishing that the organizations contained in the list do meet all requirements, and to authorize the secretariat to advise those applicants of their "pre-admittance status", on the understanding that the final authority for the admission of observers rests with the COP.

6. Initial organization of work

(a) Opening of the session

28. At the opening plenary meeting on 1 December, statements will be made by the outgoing President of the second session of the COP, the newly-elected President of the third session and the Executive Secretary. In addition, there may be one or more addresses of welcome. It is proposed that these be the only statements at the opening of the session. In addition, the first plenary meeting will also take up a number of organizational matters: sub-items 2 (a) to (f) of the possible elements of the provisional agenda.

(b) Allocation of tasks

29. At its fifth session, the SBI recommended that "after dealing with the opening and organizational matters, COP 3 would immediately allocate the completion of decisions on the Berlin Mandate process to a sessional committee of the whole, open to all delegations" (FCCC/1997/SBI/6 para. 44 (c)(ii)). Thus, item 3 of the provisional agenda would be allocated to the Committee of the Whole, which would recommend action thereon for adoption by the COP. By the end of the first week of the session, the Committee of the Whole should identify issues that require the attention of ministers during the ministerial segment.

30. The Committee of the Whole should also make arrangements for a comprehensive editorial and linguistic review of the draft instrument, to ensure consistency within the text and among the languages.

31. Other matters, including the consideration and adoption of decisions recommended by the subsidiary bodies, would be dealt with directly in plenary meetings. The number of meetings taking place simultaneously would be limited to two, to facilitate the work of small delegations. The President may refer drafting tasks to informal groups, as appropriate.

32. Taking into account the importance of the task entrusted to the Committee of the Whole and the need to ensure a smooth transition from the Ad Hoc Group on the Berlin Mandate (AGBM) to the Committee of the Whole, the SBI may wish to invite the President of COP 2 to start consultations, with a view to advising the newly-elected President of COP 3 on the election of the Chairman of the Committee of the Whole.

(c) Schedule of meetings

33. It is planned that services will be available for two parallel meetings with interpretation. A schedule of meetings constructed on this basis will be proposed in due course.

7. Ministerial segment

34. The SBI agreed to recommend that "In order to finalize the political negotiations on the outcome of the Berlin Mandate, a ministerial segment would take place from Monday, 8 December to Wednesday, 10 December when the final text of a protocol or another legal instrument would be adopted" (FCCC/1997/SBI/6 para. 44 (c)(iii)). It also requested the secretariat "to propose at its sixth session a cost effective and innovative way of organizing the ministerial segment, and providing ministers with adequate opportunities to exchange views on policy matters" (FCCC/1997/SBI/6, para. 44 (d)).

35. In considering this request, the secretariat has felt that ministers wishing to exchange views with their peers are not best served by an opportunity to make one of many statements for the record in a general debate. Such a traditional general debate is often poorly attended after the start and its duration does not encourage ministers to listen to the views of all their counterparts. Ministers may prefer a programme that enables them to engage in an informal, though structured, dialogue on policy matters and to contribute to political negotiations, while preserving opportunities to communicate statements for the record and address the media. This thinking underpins the proposals that follow for the organization of the ministerial segment.

36. Should there be interest in these proposals, the secretariat would develop them further, in consultation with the Bureau of the COP and the host Government of COP 3, as appropriate. By September, the arrangements for the ministerial segment would need to be firm and could be set out in the annotations to the provisional agenda and in the notification of COP 3. Participants could then organize their schedules in consequence.

(a) Opening addresses

37. It may be appropriate to launch the ministerial segment with addresses on behalf of the Government of Japan and the Secretary-General of the United Nations.

(b) Ministerial Round Table

38. The main opportunity for ministers to exchange views with each other could be provided by a ministerial round table, chaired by the President of the Conference. Building on the experience of the round table held at COP 2, the round table at COP 3 could break into two or three dialogue groups on broad policy issues related to the Convention. These groups would be chaired by ministers, who would each report the main lines of discussion in their group back to the round table. The President of the COP would sum up the proceedings of the round table in a statement to the COP, that would be recorded in the report of the session. This exercise could take up the first day of the ministerial segment, 8 December, with the President reporting to the COP at the start of the next day.

39. In order to encourage dialogue, the round table and its groups would be informal and off-the-record. Participation would be limited, essentially to ministers. However, heads of selected partner organizations and representatives of the main non-governmental constituencies could be invited to participate in the dialogue groups.

(c) General statements

40. Instead of the traditional general debate in plenary, ministers would be invited to make available written general statements which would be distributed to participants in COP 3, noted in its report and included in the Conference Web site. Facilities would also be available for ministers to address the media.

(d) Arrangements for participation by observer organizations

41. At its fifth session, the SBI requested the secretariat "to propose arrangements for the communication of views by heads of United Nations programmes and agencies, IGOs and NGOs" (FCCC/1997/SBI/6, para. 44 (e)).

42. At past sessions of the COP, observer organizations have been able to make general statements in plenary meetings. Heads of selected partner agencies, mainly of the United Nations system, have been invited to do so at the opening of the session. However, observer organizations have not been invited to contribute to the general debate during the ministerial segment.

43. In line with the foregoing organizational proposals for COP 3, it is proposed that observer organizations be accorded some access to the ministerial segment, through limited participation in the proposed dialogue groups of the ministerial round table (see paragraphs 38 and 39 above). It is further proposed that there be no oral statements in plenary by observer organizations, at the opening or otherwise. Such organizations would be invited to make available written statements for circulation which would be noted in the report of COP 3 and included in the Conference Web site.

(e) Political negotiations

44. The President of the COP will, as usual, consult ministers and other heads of delegations in finalizing the negotiations on the protocol or another legal instrument.

45. The final text of the protocol or another legal instrument would be submitted to the Plenary for adoption, in accordance with paragraph 6 of decision 1/CP.1 (FCCC/CP/1995/7/Add.1).

III. CALENDAR OF MEETINGS

46. The SBI took note of the calendar of meetings for 1997 and requested the secretariat to propose at its sixth session a calendar of meetings for 1998-1999 based on holding two blocks of sessions of the Convention bodies each year, each block comprising two weeks of meetings (FCCC/SBI/1997/5, para. 22).

47. A schedule of meetings for the October 1997 sessions of the Convention bodies is presented in annex I of this document. It will be reviewed by the Bureau of the COP when it meets on 8 August 1997.

48. Based on the availability of commercial conference facilities in Bonn and United Nations conference services, the secretariat has elaborated a tentative calendar of sessions for 1998-1999. Bodies of the Convention, including ad hoc groups established by the COP, could hold their sessions as follows:

(a) First sessional period in 1998: from 2 to 12 June;

(b) Second sessional period in 1998: from 16 to 27 November;

(c) First sessional period in 1999: Two weeks in March - April;

(d) Second sessional period in 1999: Two weeks in October - November.

49. A firm calendar is needed to enable the secretariat to make cost-effective arrangements for future meetings in Bonn. The link between the calendar, the secretariat's work load and the programme budget is a further reason for reaching a firm conclusion on the calendar at the sixth session of the SBI. At the same time, the precise dates of sessional periods in 1999 remain to be determined, within the ranges indicated. Accordingly, the SBI is invited to confirm the calendar proposed above and to request the secretariat to propose dates for the sessional periods in 1999, after consulting the Bureau of the COP.

IV. FOURTH SESSION OF THE COP (COP 4)

50. The SBI called on Parties to submit offers to host COP 4 by its sixth session. In accordance with the provisions of the Convention, the SBI will consider any potential offers and recommend the date and venue of COP 4 at its sixth session.

51. It may be recalled that the Bureau has recommended that, given the timing of COP 3 late in 1997, COP 4 could be held early in 1999 (FCCC/1996/INF.4). The Group of 77 and China have expressed concern over this recommendation, considering that COP 4 should be held in 1998 (FCCC/SBI/1997/Misc.2). Different points of view on this question continued to be expressed at the fifth session of SBI.

52 The SBI may wish to recommend to COP 3 a date for COP 4. In the absence of any offer from a Party to host COP 4, the SBI may wish to call for such offers to be made well in advance of its seventh session in October 1997. Should there be no offer at that time, the SBI may recommend to COP 3 that COP 4 be held in Bonn, the seat of the secretariat, in accordance with draft rule 3 of the draft rules of procedure, as applied.

Annex I

SCHEDULE OF MEETINGS

SESSIONS OF THE SUBSIDIARY BODIES
Bonn, 20 - 31 October 1997
(AGBM-8, SBSTA-7, SBI-7)

Mon. 20 Oct.		Tues. 21 Oct.		Wed. 22 Oct.		Thurs. 23 Oct.		Fri. 24 Oct.	
a.m.	p.m.	a.m.	p.m.	a.m.	p.m.	a.m.	p.m.	a.m.	p.m.
SBI	SBI	SBI	SBI	SBI	SBI	AGBM	AGBM	AGBM	AGBM
SBSTA	SBSTA	SBSTA	SBSTA	SBSTA	SBSTA	(TBA)	(TBA)	AGBM	AGBM

Mon. 27 Oct.		Tues. 28 Oct.		Wed. 29 Oct.		Thurs. 30 Oct.		Fri. 31 Oct.	
a.m.	p.m.	a.m.	p.m.	a.m.	p.m.	a.m.	p.m.	a.m.	p.m.
AGBM	AGBM	AGBM	AGBM	AGBM	AGBM	AGBM	AGBM	AGBM	AGBM
AGBM	AGBM	SBI	SBSTA	AGBM	AGBM	AGBM	AGBM	AGBM	AGBM

Annex II

THIRD SESSION OF THE CONFERENCE OF THE PARTIES: POSSIBLE ELEMENTS FOR THE PROVISIONAL AGENDA

1 Opening of the session

(a) Statement by the President of the second session of the COP.

[(b) Address[es] of welcome.]

(c) Election of the President of the Conference at its third session.

(d) Statement by the President.

(e) Statement by the Executive Secretary.

2 Organizational matters [1]

(a) Status of ratification of the Convention.

(b) Adoption of the rules of procedure.

(c) Adoption of the agenda.

(d) Election of officers other than the President.

(e) Admission of organizations as observers.

(f) Organization of work, including the establishment of a sessional Committee of the Whole.

(g) Calendar of meetings of Convention bodies 1998-1999.

(h) Date and venue of the fourth Conference of the Parties.

(i) Adoption of the report on credentials.

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[1] Sub-items (a) to (f) will be taken up at the opening plenary meeting. Sub-items (g) and (h) will be taken up later in the session. Sub-item (i) will, as usual, be dealt with at the closing meeting.

3. Amendments to the Convention and its Annexes:

   (a) Proposal to amend Article 4.3;

   (b) Proposal to amend Article 17;

   (c) Proposal to amend Annexes I and II.

4. Adoption of a protocol or another legal instrument: fulfilment of the Berlin Mandate.

5. Review of the implementation of the Convention:

   (a) Reports of the subsidiary bodies and matters arising:

      (i) Report of the Subsidiary Body for Scientific and Technological Advice;

      (ii) Report of the Subsidiary Body for Implementation;

      (iii) Report of the Ad hoc Group on the Berlin Mandate;

      (iv) Report of the Ad Hoc Group on Article 13;

   (b) Development and transfer of technologies (Articles 4.1(c) and 4.5).

6. Ministerial segment:

   [(a) Opening addresses;

   (b) Ministerial round table: oral report by the President.]

7. Other matters.

8. Conclusion of the session:

   (a) Adoption of the report of the Conference of the Parties on its third session;

   (b) Closure of the session.

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UNITED NATIONS

Framework Convention on Climate Change

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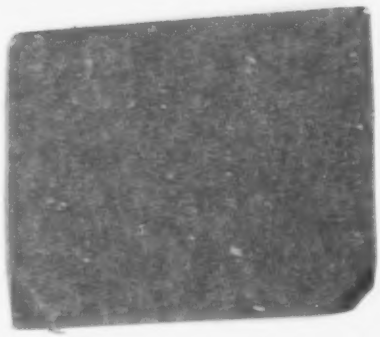
SUBSIDIARY BODY FOR IMPLEMENTATION
Sixth session
Bonn, 28 July - 5 August 1997
Item 6 of the provisional agenda



VOLUME OF DOCUMENTATION

Note by the secretariat

I. INTRODUCTION

A. Mandate

1. In its Report on Conference Servicing of the Conference of the Parties and its Subsidiary Bodies, the Advisory Committee on Administrative and Budgetary Questions (ACABQ) raised the question of the volume of documentation and recommended that, in line with economy measures being taken in the United Nations Secretariat, the Conference of the Parties (COP) should be requested to review the number of documents it produces and the manner in which they are to be produced (A/50/7/Add.15, para. 7).[1] The COP addressed this question, at its second session, in July 1996, and endorsed the ACABQ's recommendation to limit, to the extent possible, the number and length of the documents produced by the secretariat (decision 17/CP.2, para.2).

2. At its fifth session, held from 25 to 28 February 1997, the Subsidiary Body for Implementation (SBI) recalled decision 17/CP.2 and noted that the Executive Secretary required more time to prepare recommendations on this matter and would submit them to the SBI at its sixth session (FCCC/SBI/1997/6). The SBI also requested the Executive Secretary to explore with the United Nations office at Geneva (UNOG), the possibility that, when justified by exceptional circumstances, certain documents may be distributed in each language, as they become available.

GE.97-61538

[1] ACABQ Report on Conference Servicing of the Conference of the Parties and its Subsidiary Bodies, 12 April 1996.

B. Background

3. An excess volume of documentation is a relative concept, and a new and growing work programme can be expected to increase the number of documents it produces, if it is to carry out its mandate in the most efficient manner. Simply limiting the absolute volume of documentation may not be appropriate at the present phase of the Convention process.

4. Nonetheless, there are areas where positive changes can be made. First, problems in document preparation arise from limitations on the capacity of the secretariat to prepare and ensure the quality of documents, and to provide the infrastructure for processing documents, such as, editing, formatting and advance distribution. Second, there is a problem for delegations to absorb the documents that they request. Typically, the first problem shows up in lateness of documents, which aggravates the second.

5. Strains on these pressure points could be reduced by less demand for documents by Convention bodies and more concise documents produced by the secretariat. Additional relief could also be obtained if the Convention bodies spread out their demands over a wider time-frame.

6. Two further constraints are to be found in the handling of United Nations Framework Convention on Climate Change (UNFCCC) documentation by UNOG - limited translation capacity, and the policy of releasing documents only when the six language versions are available.

7. The translation bottle-neck could be loosened by producing technical materials, such as tabular annexes and technical reports, in the original language only. Regarding simultaneous language distribution, the secretariat has been reminded by UNOG that the provision of conference services to Convention bodies is subject to the rules of the General Assembly (A/C.5/50/58, para. 10)[2], in which the flexibility envisaged in the SBI's request to the Executive Secretary is not foreseen.

C. Possible action by the SBI

8. The SBI may wish to take note of the action being taken by the secretariat and give guidance thereon. It may also consider the proposals below for action by the Parties, in particular the procedure suggested in paragraph 12, and recommend action by the COP.

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[2] Report of the Secretary-General on the Programme Budget for the Biennium 1996-1997.

II. PROPOSALS

A. Proposed action by the secretariat

9 The secretariat is pursuing the following measures regarding documentation. It aims:

(a) To establish volume targets for documents through its internal planning process;

(b) To revise editorial guidelines to ensure clear and concise documents, backed up by training for staff in their use;

(c) To separate presentation of tabular and technical material, without translation;

(d) To establish a series of technical reports, which would supplement the official documentation prepared in response to the agendas of Convention bodies. These reports would not receive general distribution, but be made available to national focal points and, on request, to other users in the original language only. Technical reports that merited a wider dissemination could be translated as publications of the secretariat, if funds were available;

(e) To disseminate documents efficiently, both on paper and electronically, including informal distribution of the original text in advance of the official distribution by UNOG.

10 Improvements in the documentation process are a priority in the secretariat's management agenda. Ideas to this end are generated, and their implementation is kept under review by a task force on documentation, led by the Intergovernmental and Information Support (IIS) programme.

B. Proposed action by the Parties

11 The secretariat proposes that its actions in this area be complemented by action by Parties:

(a) To limit the volume of their submissions for circulation to Convention bodies, even though these are not translated;

(b) To focus the content of submissions on material pertinent to the forthcoming sessions of the subsidiary bodies and avoid reproduction of previously presented statements;

(c) To limit their requests for numbers of hard copies of documents;

(d) To limit requests by Convention bodies for documents that need to be translated; and

(e) To schedule the delivery of documents over time in a manner that corresponds to the capacity of the Convention bodies to consider them.

12. In order to keep points (d) and (e), referred to above, to the fore, it is proposed that a procedure could be instituted in the work of the COP and its subsidiary bodies, whereby before the adoption of the conclusions of each session, the presiding officer would consult the Executive Secretary regarding the feasibility of producing the documentation within the time-frame envisaged in those conclusions. Should any problems of timely delivery be foreseen, the presiding officer would propose to the Convention body that it adjust its demand for documentation in consequence, by reducing the demand, or allowing more time for delivery.

13. The SBI is invited to consider the above proposals and to recommend their adoption by the COP.

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